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PATENT  
Attorney Docket No.: COOL-01400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**

) Group Art Unit: 3743

) Examiner: Tho V. Duong

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

) Customer No.: 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

You will also find enclosed the associated Transmittal, Electronic Information Disclosure Statement, and United States Patent and Trademark Office Acknowledgment Receipt for the electronically filed Supplemental Information Disclosure Statement (EFS ID #89736) filed on August 3, 2005.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 8-4-05

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 8-4-05 By: John D. Ruman

Attorneys for Applicants



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) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

United States Patents or Published Patent Applications have been filed electronically (EFS ID #89736). Applicants have become aware of the following printed publications which may be material to the examination of this application:

- Japanese Patent Abstract JP 10-99592; and
- Japanese Patent Abstract JP 2001-326311.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 6-4-05

By: 

Thomas B. Haverstock  
Reg. No.: 32,571

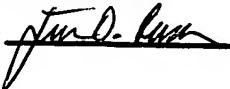
Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

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- 2 -

HAVERSTOCK & OWENS LLP.

Date: 8-4-05 By: 



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) **CERTIFICATION FOR**  
) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT UNDER 37**  
) **CFR § 1.97(e)**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

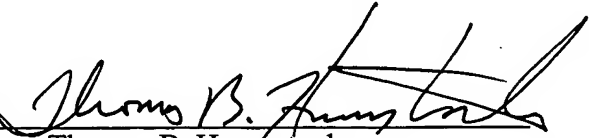
I hereby certify that the attached two (2) references contained in this supplemental information disclosure statement were cited within an International Search Report (ISR) mailed on May 23, 2005. **Accordingly, the reference contained in the information disclosure statement were cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).**

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 6-4-05

By:   
Thomas B. Haverstock  
Reg. No.: 32,571

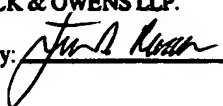
Attorneys for Applicants

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- 2 -

HAVERSTOCK & OWENS LLP.

Date: 8-4-05 By: 

FORM PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.: COOL-01400		Serial No.: 10/612,241	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Several Sheets If Necessary)				Applicants: James Lovette et al.			
(37 CFR § 1.98(b))				Filing Date: July 1, 2003		Group Art Unit: 3743	

U.S. PATENT DOCUMENTS							
Examiner Initials	Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date	
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS								
		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	AK	JP 10-99592	04/21/98	JP	D06F	39/08		X
	AL	JP 2001-326311	11/22/01	JP	H01L	23/427		X
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	AN							
	AO							

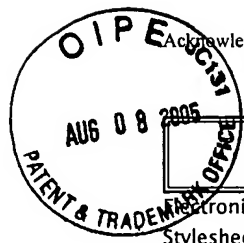
OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	AP
	AQ
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	AY
	AZ

Examiner:	Date Considered:
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<b>EXAMINER:</b>	Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
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UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	MULTI-LEVEL MICROCHANNEL HEAT EXCHANGERS									
Submission Type:	Information Disclosure Statement									
Application Number:	10/612241	*10/612241*								
EFS ID:	89736									
Server Response:	<table border="1"><thead><tr><th>Confirmation Code</th><th>Message</th></tr></thead><tbody><tr><td>ISVR1</td><td>Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application</td></tr><tr><td>ICON1</td><td>3319</td></tr><tr><td>USPTOEFSNotice</td><td>For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number: 1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a></td></tr></tbody></table>		Confirmation Code	Message	ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application	ICON1	3319	USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number: 1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>
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First Named Applicant:	James Lovette									
Attorney Docket Number:										
Timestamp:	2005-08-03 11:56:13 EDT									
From:	us									
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Acknowledgement Receipt

Page 2 of 2

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Digital Certificate Holder Name:	cn=Thomas B. Haverstock,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US	

TRANSMITTAL							
Electronic Version v1.1 Stylesheet Version v1.1.0							
<b>Title of Invention</b>	<b>MULTI-LEVEL MICROCHANNEL HEAT EXCHANGERS</b>						
<b>Application Number:</b>	10/612241 *10/612241*						
<b>Date:</b>	2003-07-01						
<b>First Named Applicant:</b>	James Lovette						
<b>Confirmation Number:</b>	3319						
<b>Attorney Docket Number:</b>							
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>							
<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Thomas B. Haverstock Registered Number: 32571</td><td>/tbh/</td><td>Attorney</td></tr></tbody></table>		Submitted by:	Elec. Sign.	Sign. Capacity	Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney
Submitted by:	Elec. Sign.	Sign. Capacity					
Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

Documents being submitted	Files
us-ids	COOL01400-usidst.xml us-ids.dtd us-ids.xsl
<b>Comments</b>	





**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v1.8

Stylesheet Version v1.8.0

Title of Invention	MULTI-LEVEL MICROCHANNEL HEAT EXCHANGERS						
Application Number:	10/612241 *10/612241*						
Confirmation Number:	3319						
First Named Applicant:	James Lovette						
Attorney Docket Number:							
Search string:	(0596062 or 2273505 or 4211208 or 6119729 or 6397932 or 20020075645 ).pn.						
Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:  That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.							
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	0596062	1897-12-28	W. P. Firey			
	2	2273505	1942-02-17	R. R. Florian			
	3	4211208	1980-07-08	Undner			
	4	6119729	2000-09-19	Oberholzer et al.			
	5	6397932	2002-06-04	Calaman et al.	B1		
US Published Applications							
Note: Applicant is not required to submit a paper copy of cited US Published Applications							

Init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020075645	2002-06-20	Kitano et al.	A1		

Signature

Examiner Name	Date